

SAS 70 Audit Action Plan 2005

April 2005 Status

[In response to the Auditor of Public Accounts SAS 70 Audit Report, dated April 1, 2004]

1 Finding - "Improve and Implement Security Standards for Client Agencies"

4 Recommendations

APA Rec	Short Title	Summary	Due Date	Responsible Person(s)	Status	Task/Comments
1	Create & Distribute Security Checklist	Create & distribute to client agencies a detailed checklist that defines the roles & responsibilities for information security.	10/1/04	Deason	Complete	<p>VITA's Security Director has created a checklist to explain the roles and responsibilities for VITA and those of customer agencies in information security. VITA's Enterprise Service Directors are currently in the process of providing this document to responsible agency staff for comment and acceptance. VITA's Security Director will finalize the document and ensure acceptance and understanding by agency management by October 1, 2004</p> <p>4/05 Security Checklist was created in September, 2004 and distributed to agency Information Security Officers in October, 2004.</p>
2	Develop Configuration Standards	Create or define the "Industry Best Practices" for detailed security configuration standards in our computing environment to include configurations at the operating system level, database level, and network component level.	10/1/04	Deason	Underway	<p>VITA Security will develop an action plan to address this recommendation by October 1, 2004. The timeframe for implementation is dependent upon resources and funding. Initial start up funding has been approved for Risk Assessment and Security Incident Management for FY05.</p> <p>4/05 The action plan was developed and the initial funding for the Risk Assessment and Security Incident Management has been approved. The Risk Assessment is underway. The Security Incident Management is undergoing a TCO review for doing this in-house or as an outsourced service.</p>

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3	Use Configuration Standards	Use the configuration standards to manage client agencies systems & in cases of potential disagreement, miscommunication or other questions, take actions to protect the data pending resolution of the matter with the client agency.	10/1/2004	Deason	Complete	<p>VITA will adopt the configuration standards & in cases of potential disagreement, miscommunication or other questions, take appropriate action to protect the data pending resolution of the matter with the customer agency. Such immediate actions will be determined based on a case specific risk assessment. VITA will mitigate the risk of adverse impact to agency business services or operations by working closely with each customer agency. VITA Security will develop a policy and procedure to govern this process and put it in place by October 1, 2004</p> <p>4/05 Technical Compliance document was issued 7/13/04 during the transition period when in scope agencies transitioned to VITA.</p>
4	Correct Tax Server Configuration	Review and correct the Department of Taxation server configuration issues.	8/2/2004	Saneda	Complete	<p>The standard that applies to management of this server is based on "Industry Best Practices" and was finalized in December 2003. It was developed jointly by VITA and Taxation. At the time the standard was finalized Taxation elected not to make changes as a result of weighing limited security exposure against business process risk should a failure occur. Taxation's infrastructure has not yet been consolidated into VITA. Steps are underway to completely resolve issues with configuration of the server belonging to the Department of Taxation. Actions have been completed to remove world writable files that would not impact applications and to disable unused network services and other candidate services identified by Taxation. File permissions will be documented and provided to VITA by the Department of Taxation by August 2, 2004. The server will be managed by VITA in accord with best practice standards and procedures. A joint change management process will be established monthly for ongoing assurance.</p> <p>4/05 The Taxation server issues have been resolved. Additionally, file permissions are reviewed monthly and Taxation authorizes VITA to make additional changes as required.</p>